



**CHILD CARE AND DEVELOPMENT FUND PLAN**  
**FOR**  
**FFY 2004-2005**

This Plan describes the CCDF program to be conducted by the State for the period 10/1/03 – 9/30/05. As provided for in the applicable statutes and regulations, the Lead Agency has the flexibility to modify this program at any time, including changing the options selected or described herein.

The official text of the applicable laws and regulations govern, and the Lead Agency acknowledges its responsibility to adhere to them regardless of the fact that, for purposes of simplicity and clarity, the specific provisions printed herein are sometimes paraphrases of, or excerpts and incomplete quotations from, the full text.

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Public reporting burden for this collection of information is estimated to average 162.57 hours per response, including the time for reviewing instructions, gathering and maintaining the data needed, and reviewing the collection of information.

An agency may not conduct or sponsor, and a person is not required to respond to, a collection of information unless it displays a currently valid OMB control number.

(Form ACF 118 Approved OMB Number: 0970-0114 expires 05-31-2006)

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**AMENDMENTS LOG**

Child Care and Development Services Plan for  
For the period: 10/1/03 -- 9/30/05

SECTION AMENDED	EFFECTIVE/ PROPOSED EFFECTIVE DATE	DATE SUBMITTED TO ACF	DATE APPROVED BY ACF
3.3.1, Att. D D.1	December 1, 2003	January 29, 2004	
3.3.2	January 1, 2004		
3.5.3	December 1, 2003		
5.1.4	February 1, 2004	January 21, 2004	

**Instructions:**

- 1) Lead Agency completes the first 3 columns and sends a photocopy of this Log (showing the latest amendment sent to ACF) and the amended section(s) to the ACF Regional contact. A copy of the Log, showing the latest amendment pending in ACF, is retained in the Lead Agency's Plan.
- 2) ACF completes column 4 and returns a photocopy of the Log to the grantee.
- 3) The Lead Agency replaces this page in the Plan with the copy of the Log received from ACF showing the approval date.

Note: This process depends on repeated subsequent use of the same Log page over the life of the Plan. At any time the Log should reflect all amendments, both approved and pending in ACF. The Lead

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Agency is advised to retain those "old" plan pages that are superseded by amendments in a separate appendix to its Plan.

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**PART 1 -- ADMINISTRATION**

The agency shown below has been designated by the Chief Executive Officer of the State (or Territory), to represent the State (or Territory) as the Lead Agency. The Lead Agency agrees to administer the program in accordance with applicable Federal laws and regulations and the provisions of this Plan, including the assurances and certifications appended hereto. (658D, 658E)

**1.1 Lead Agency Information** (as designated by State chief executive officer)

Name of Lead Agency: Department of Workforce Services

Address of Lead Agency: 140 E 300 S, Salt Lake City, UT 84111

Name and Title of the  
Lead Agency's Chief Executive Officer: Raylene Ireland

Phone & Fax Numbers: 801.526.9210 (phone), 801.526.9211 (fax)

**1.2 State Child Care (CCDF) Contact Information** (day-to-day contact)

Name and Title of the  
State Child Care Contact (CCDF): Lynette Rasmussen

Address of Contact: 140 E 300 S, Salt Lake City, UT 84111

Phone & Fax Numbers: 801.526.4340 (phone), 801.526.4349 (fax)  
E-Mail Address: [lrasmussen@utah.gov](mailto:lrasmussen@utah.gov)

**1.3 Estimated Funding**

The Lead Agency estimates that the following amounts will be available for child care services and related activities during the 1-year period: October 1, 2003 through September 30, 2004. (§98.13(a))

- CCDF: \$ 46,451,027
- Federal TANF Transfer to CCDF (if known): \$ 0 (not known)
- Direct Federal TANF Spending on Child Care (if known): \$ 0 (not known)
- State CCDF Maintenance of Effort Funds: \$ 4,474,923
- State Matching Funds: \$ 955,300
- Total Funds Available: \$ 51,881,250

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**1.4** The Lead Agency estimates that the following amount (and percentage) of the CCDF will be used to administer the program (not to exceed 5 percent): \$ 1,200,000 ( 3.35%).  
(658E(c)(3), §§98.13(a), 98.52)

**1.5** Does the Lead Agency directly administer and implement all services, programs and activities funded under the CCDF Act, including those described in Part 5.1 – Activities & Services to Improve the Quality and Availability of Child Care, Quality Earmarks and Set-Aside?

( ) Yes. – GO to Section 1.8.

( X ) No, and the following describes how the Lead Agency maintains overall control when services or activities are provided through other agencies. (658D(b)(1)(A), §98.11)

The Department of Workforce Services/Office of Child Care contracts with other state and non-profit agencies for the delivery of services. Those agencies will be listed in sections requesting a description of specific activities.

All contracts are monitored on a quarterly basis. Contract monitoring is conducted using the Scope of Work outlined in the contract as a baseline. As required in the Block Grant, the Department of Workforce Services/Office of Child Care (lead agency) requires each contractor to submit a quarterly progress report. Quarterly reports are developed and based upon identified and measured outcomes and outputs.

Both inter-agency contracts and community-based contracts are secured with the support of the State of Utah/Department of Workforce Service's procurement processes. Five of the child care resource and referral contracts are inter-agency. One is a sole source contract. The sole source justification is based on years of crrr service delivery experience and other shared resources.

**1.6** For child care services funded under §98.50 (i.e., certificates, vouchers, grants/contracts for slots based on individual eligibility), does the Lead Agency itself: (§98.11)

- Determine individual eligibility of non-TANF families? YES X NO \_\_\_\_  
If NO, identify the name and type of agency that determines eligibility of non-TANF families for child care:

- Determine individual eligibility of TANF families? YES X NO \_\_\_\_  
If NO, identify the name and type of agency that determines eligibility of TANF families for child care:

- Assist parents in locating child care? YES \_\_\_\_ NO X \_\_\_\_  
If NO, identify the name and type of agency that assists parents:

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The Department of Workforce Services works with local child care resource and referral agencies, early intervention - Baby Watch offices and local Head Start programs to assist parents in their search for appropriate child care.

- Make payments to providers? YES\_\_\_ NO X

If NO, identify the name and type of agency that makes payments:

The Department of Workforce Services operated a payment to parents system.

- 1.7 Is any entity named in response to section 1.6 a non-governmental entity? (See section 1.6 of the guidance). (658D(b), §§98.10(a), 98.11(a))

( ) No.

( X ) Yes, the following entities named in section 1.6 are non-governmental:

The local CCR&R agencies receive CCDF funds via contract to administer child care referral services. Four of the contracts are held by either a local college or university (Weber State, College of Eastern Utah, Utah State University and Utah Valley State College). One contract is based at an association of governments (Five County AOG) and the other is held by a private non-profit agency (Children's Service Society of Utah).

**Section 1.8 - Use of Private Donated Funds**

- 1.8.1 Will the Lead Agency use private donated funds to meet a part of the matching requirement of the CCDF pursuant to §98.53(e)(2) and (f)?

( ) No. GO TO 1.9

( X ) Yes, if private funds become available.

The name and type of entity designated to receive private donated funds is:

Name: State of Utah Treasurer/Office of Child Care Trust Fund

Address: State Capitol, room 215, Salt Lake City, UT 84114

Contact: Robert Kirk

Type (see section 1.6 of the guidance):

The Office of Child Care Trust Fund is maintained by the State of Utah Treasurer's Office. The fund is part of the state Office of Child Care, but is not a 501 (c)(3) corporation.

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**Section 1.9 - Use of State Pre-Kindergarten (Pre-K) Expenditures for CCDF-Eligible Children**

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1.9.1 During this plan period, will State expenditures for Pre-K programs be used to meet any of the CCDF maintenance of effort (MOE) requirement?

- ( X ) No.  
( ) Yes,

\_\_\_\_\_ The State assures that its level of effort in full day/full year child care services has not been reduced, pursuant to §98.53(h)(1).

\_\_\_\_\_ Estimated % of the MOE requirement that will be met with pre-K expenditures. (It may not exceed 20%.)

If the State uses Pre-K expenditures to meet more than 10% of the MOE requirement, the following describes how the State will coordinate its Pre-K and child care services to expand the availability of child care (§98.53(h)(4)):

1.9.2 During this plan period, will State expenditures for Pre-K programs be used to meet any of the CCDF Matching Fund requirement? (§98.53(h))

- ( X ) No.  
( ) Yes, and

\_\_\_\_\_ Estimated % of the Matching Fund requirement will be met with pre-K expenditures. (It may not exceed 20%.)

If the State uses Pre-K expenditures to meet more than 10% of the Matching Fund requirement, the following describes how the State will coordinate its Pre-K and child care services to expand the availability of child care (§98.53(h)(4)):

1.9.3 If the State answered yes to 1.9.1 or 1.9.2, the following describes State efforts to ensure that pre-K programs meet the needs of working parents (§98.53(h)(2)):

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## Part 2--DEVELOPING THE CHILD CARE PROGRAM

### 2.1 - Consultation and Coordination

2.1.1 Consultation. Describe the consultation the Lead Agency held in developing this Plan and the results of that consultation. At a minimum, the description must include the following:

- Representatives of local governments;
- Tribal organizations when such organizations exist within the boundaries of the State. (658D(b)(2), §§98.12(b), 98.14(b))

*In the April/May 2003, the Office of Child Care held 10 Towne Meetings throughout the state. The purpose of the Towne Meetings was to gather community input and support for Utah's biennial state plan. Input was documented and used to create Utah's plan. Those who attended the Towne Meetings represented broad based community groups; such as: government agencies, state legislators, city mayors, child care advocacy representatives, child development representatives, child care providers, parents, and community members. They include the following:*

*Community Action Program  
Department of Education  
Department of Health, Bureau of Facility Licensing-Child Care Unit  
Department of Health, Bureau of Maternal and Child Health  
Department of Health, Early Intervention Baby Watch  
Department of Workforce Services State and Regional Councils  
Department of Workforce Services, Office of Child Care  
Department of Workforce Services, Service Delivery Support, TANF  
Early Childhood Coordinating Council  
Five County-Association of Governments  
Governor's Initiative for Families Today  
Immunize By Two Task Force  
National Children's Reading Foundation  
Office of Child Care Advisory Committee  
Office of Education – Child and Adult Food Program  
Piute Tribe CCDF Office  
Professional Family Child Care Association  
United Way of the Greater Salt Lake  
United Way of Utah County  
Utah Association for the Education of Young Children  
Utah Association of Child Care Resource and Referral Agencies  
Utah Children  
Utah Family Center/PTA  
Utah Head Start Association*

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*Utah Private Child Care Association*  
*Utah Reads Alliance*  
*Utah School Age Care Alliance*

- 2.1.2 Coordination. Lead Agencies are required to coordinate with other Federal, State, local, tribal (if applicable), and private agencies providing child care and early childhood development services.

Check any of the following services provided by agencies with which the Lead Agency coordinates. In each case identify the agency providing the service and describe the coordination and expected results:

- ☒ Public health including programs that promote children's emotional and mental health
- ☒ Employment services
- ☒ Public education
- ☒ TANF
- ☐ State Pre-K programs
- ☒ Head Start programs
- ☒ Programs that promote inclusion for children with disabilities
- ☐ Others (please identify) (658D(b)(1)(D), §98.12(a), 98.14(a)(1) & (2))

## **2.2 - Public Hearing**

Describe the Statewide public hearing process held to provide the public an opportunity to comment on the provision of child care services under this Plan. At a minimum, the description must indicate:

- Date(s) of statewide notice of public hearing *June 6, 2003*.
- Manner of notifying the public about the statewide hearing
  - Posted announcement in every Department of Workforce Services Employment Center – June 9, 2003*
  - Statewide newspaper advertisement – June 10, 2003*
  - Public announcement at Office of Child Care Advisory Committee – June 11, 2003*
  - Email notification to each Towne Meeting participant – June 17, 2003*
- Date(s) of public hearing(s): *Thursday, June 26, 2003, 3:30 – 4:30 pm.*
- Hearing site(s)
  - The hearing will be held via teleconference in the following locations:*
  - Department of Workforce Services Administration Building, Salt Lake City*
  - Department of Workforce Services Provo Regional Office, Provo*
  - Bear River Health Department, Logan*
  - Department of Workforce Services St. George Office, St. George*

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- How the content of the plan was made available to the public in advance of the public hearing(s) (658D(b)(1)(C), §98.14(c)):

*The community was notified via all public announcements that a copy of the plan can be received by contacting the Office of Child Care. Public comment will be received until June 30, 2003.*

### **2.3 - Public-Private Partnerships**

- Describe the activities, including planned activities, to encourage public-private partnerships that promote private-sector involvement in meeting child care needs, including the results or expected results. (658D(b)(1), §98.16(d)):

Office of Child Care Advisory Committee. *The Office of Child Care has a legislatively created Advisory Committee comprised of 23 members. For a complete list of the committee members, see Attachment A. These include state agency and community representatives. As representatives of the child care community, the Advisory Committee advises the office on community child care issues to insure appropriate child care policy is developed and appropriate grant processes and procedures are in place. The Advisory Committee has established sub-committees to address topic areas and to address specific projects. The sub-committees are:*

*Executive Committee (comprised of committee chairs)*  
*Program Planning*  
*Public Awareness*  
*Date and Research*  
*Foundation*

Work/Life Awards. *The Department of Workforce Services/Office of Child Care will continue the process of identifying Utah's Top Ten Most Family-Friendly Companies. This project has been successful in educating and engaging the business community on the importance of forward thinking work/life policies. The fifth annual awards were presented in April 2002. The award process for the sixth year will begin in September 2003 in conjunction with the Department of Workforce Services Employer Summit.*

Employer Champions for Child Care. *Employer Champions for Child Care is a public/private partnership dedicated to bringing business leaders, policy makers and advocates together to develop and achieve objectives designed to improve child care and early education in Utah. The Department of Workforce Services Regional Councils, the Office of Child Care Advisory Committee and community advocates are exploring this exciting new corporate initiative.*

Professional Development Institute (PDI). *The Professional Development Institute will be hosted at a Utah college or university for the purpose of providing professional support to child care providers throughout Utah. The PDI will work collaboratively with the office to further the Office of Child Care Professional Development initiatives.*

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Head Start. The Utah Office of Child Care will continue to support Head Start and Early Head Start programs. Training collaboration is already taking place. The office continues to explore ways to make CCDF and Head Start eligibility requirements more compatible.

Private Child Care Associations. The Office of Child Care collaborates with Utah child care provider associations to deliver training. The office provides financial support to local associations for training and accreditation initiatives. The office will also continue to work collaboratively with Utah's child care provider association to host Utah's Professional Development Conference each spring.

Care About Child Care. Utah's first public awareness/media campaign intended to make people aware of the role quality child care can play in early childhood development. The campaign is designed to emphasize the benefits of quality child care and help parents find and evaluate the care available to their children.

National Children's Reading Foundation. A newly created foundation formed in collaboration with the Utah Family Center and the Utah PTA. The extent of our collaboration is not yet known. However, the Utah Family Center and the Utah PTA are already partners with the Office of Child Care in Good Start Grow Smart.

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**PART 3 -- CHILD CARE SERVICES OFFERED**

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**Section 3.1 - Description of Child Care Services**

**REMINDER: The Lead Agency must offer certificates for services funded under 45 CFR 98.50.** (98.30) Certificates must permit parents to choose from a variety of child care categories, including center-based care, group home care, family child care and in-home care. (§98.30(e))

3.1.1 In addition to offering certificates, does the Lead Agency also have grants or contracts for child care slots?

(X) No.

( ) Yes, and the following describes the types of child care services, the process for accessing grants or contracts, and the range of providers that will be available through grants or contracts: (658A(b)(1), 658P(4), §§98.16(g)(1), 98.30(a)(1) & (b))

**Utah operates a certificate program for child care expenses to eligible parents. Child care providers must meet state licensing rules or, if not required to be licensed by state law, sign the License Exempt/Registration Health and Safety Certification before payment is authorized. The Lead Agency has established the residential certificate as the minimum health and safety standard for non-relative, private home providers. Exceptions to this requirement and/or a grace period to obtain a residential certificate may be approved on a case by case basis, not to exceed 3 months. Providers and services include:**

*Center based child care providers must meet state licensing standards. Department of Health, Bureau of Licensing-Child Care unit administers and monitors these standards that include health and safety components. These center-based providers must also complete an application with the Bureau of Licensing-Child Care Unit, complete a Bureau of Criminal Investigations (BCI) records check for criminal convictions and SAFE licensing for supported findings of child abuse and neglect. Individuals submit fingerprints for Federal Bureau of Investigations (FBI) if they have not resided in the State of Utah continuously for five years. The provider is required to have 20 hours of annual training. Centers are monitored with one annual inspection and follow-up as needed.*

*Group child care providers may operate in the community to provide care for up to 16 children. These providers must also complete an application with the Bureau of Licensing-Child Care Unit, complete a Bureau of Criminal Investigations (BCI) records check for criminal convictions and SAFE licensing for supported findings of child abuse and neglect. Individuals submit fingerprints for Federal Bureau of Investigations (FBI) if they have not resided in the State of Utah continuously for five years. The provider is required to have 20 hours of annual training. This setting is monitored for health and*

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*safety component compliance. Group providers are monitored with one annual inspection and follow-up as needed.*

*Family child care providers may operate in the community to provide care for up to 8 children. These providers must complete an application with the Bureau of Licensing-Child Care Unit, complete a Bureau of Criminal Investigations (BCI) records check for criminal convictions and SAFE licensing for supported findings of child abuse and neglect. Individuals submit fingerprints for Federal Bureau of Investigations (FBI) if they have not resided in the State of Utah continuously for five years. The provider is required to have 20 hours of annual training. The provider is required to attend limited training as part of the application process. This setting is monitored for health and safety component compliance. Family providers are monitored with one annual inspection and follow-up as needed.*

*Residentially certificate providers may operate in the community to provide care for up to 8 unrelated children. These providers must complete an application with the Bureau of Licensing-Child Care Unit, complete a Bureau of Criminal Investigations (BCI) records check for criminal convictions and SAFE licensing for supported findings of child abuse and neglect. Individuals submit fingerprints for Federal Bureau of Investigations (FBI) if they have not resided in the State of Utah continuously for five years. The provider is required to attend First Aid and CPR training and complete five hours of training within 90-days of licensing. This setting is monitored for health and safety component compliance. RC providers are monitored with one annual inspection and follow-up as needed.*

*Providers legally exempt from licensing law also operate in the community. Non-relative, private home providers may care for no more than 4 unrelated children. Legally exempt providers also include relative providers, care provided as part of the program of an education institution regulated by the boards of education of this state, and a parochial school or a parochial child care institution where an educational curriculum is offered.*

*Providers legally exempt from licensing law also operate in the community. Non relative, private home providers may provide care for not more than 4 unrelated children. Legally exempt providers also include relative providers, care provided as part of the program of an education institution regulated by the boards of education of this state, and a parochial school or a parochial child care institution where an educational curriculum is offered.*

*Providers legally exempt from licensing law must contact the local administering agency and receive information on child care health and safety. Providers exempt from licensing must self certify that they meet health and safety standards and are operating legally. Once they agree and sign the Health and Safety Certification (Attachment G), they are entered on a legally exempt provider register or database. This list is not used as a referral list but used to ensure health and safety compliance.*

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*Parents assume the major responsibility to monitor the health and safety of their children in these settings. Parents are referred to their local child care resource and referral agency for assistance in selecting appropriate care. If parents are unhappy with the care provided, they have the option of selecting another provider.*

3.1.2 The Lead Agency must allow for in-home care but may limit its use. Does the Lead Agency limit the use of in-home care in any way?

- (X ) No.  
( ) Yes, and the limits and the reasons for those limits are (§§98.16(g)(2), 98.30(e)(1)(iv)):

3.1.3 Are all of the child care services described in 3.1.1 above (including certificates) offered throughout the State? (658E(a), §98.16(g)(3))

- (X ) Yes  
( ) No, and the following are the localities (political subdivisions) and the services that are not offered:

**Section 3.2 - Payment Rates for the Provision of Child Care**

The statute at 658E(c)(4) and the regulations at §98.43(b)(1) require the Lead Agency to establish payment rates for child care services that ensure eligible children equal access to comparable care. These rates are provided as Attachment **B**. The attached payment rates are effective as of **August 1, 2001**.

The following is a summary of the facts relied on by the State to determine that the attached rates are sufficient to ensure equal access to comparable child care services provided to children whose parents are not eligible to receive child care assistance under the CCDF and other governmental programs. Include, at a minimum:

- The month and year when the local market rate survey(s) was completed: **September, 2002**. (§98.43(b)(2)) A copy of the Market Rate Survey instrument and a summary of the results of the survey are provided as Attachment **C and C.1**.
- How the payment rates are adequate to ensure equal access based on the results of the above noted local market rate survey (i.e., the relationship between the attached payment rates and the market rates observed in the survey): (§98.43(b))

*Payment rates under the CCDF block grant are calculated using rates established at the 75<sup>th</sup> percentile by local market rate survey. Surveys are completed every two years. The lead*

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*agency works closely with the resource and referral network to monitor the availability and accessibility of affordable child care throughout the state.*

*A monthly ceiling rate for each provider type of licensure and age of child category is established by local market rate survey. An hourly "participation rate" is determined based on the number of hours a parent is participating in agreed upon activities. This is converted into a monthly participation cost. The monthly participation cost, monthly ceiling rate, and actual monthly provider charge are compared. A payment is generated based on the least of the three amounts. Parents participating over 40 hours per week may qualify for an additional payment.*

- Additional facts that the Lead Agency relies on to determine that its payment rates ensure equal access include: (§98.43(d))

*Rates established at 65 to 75 percentile ensure parents equal access to comparable child care services provided to children whose parents do not receive child care subsidies.*

- If the payment rates do not reflect individual rates for the full range of providers -- center-based, group home, family and in-home care -- explain how the choice of the full range of providers is made available to parents.

NA

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**Section 3.3 - Eligibility Criteria for Child Care**

By statute, all eligible children must be under the age of 13, or under age 19 if physically or mentally incapable of self-care, or under court supervision, and reside with a family whose income does not exceed 85% of the State Median Income (SMI) for a family of the same size and whose parent(s) are working or attending a job training or educational program or who receive or need to receive protective services. (658E(c)(3)(B), 658P(3), §98.20(a))

- 3.3.1 Complete column (a) in the matrix below. Complete Column (b) ONLY IF the Lead Agency is using income eligibility limits lower than 85% of the SMI).

Family Size	(a) 85% of State Median Income (SMI) (\$/month)	IF APPLICABLE (b) Income Level, lower than 85% of SMI, if used to limit eligibility	
		\$/month	% of SMI
1			
2	\$ 2844	\$ 1873	56%
3	\$ 3513	\$ 2314	56%
4	\$ 4182	\$ 2755	56%
5	\$ 4851	\$ 3196	56%

The Lead Agency uses the State Median Income (SMI) of the year **2004**.

If applicable, the date on which the eligibility limits detailed in column (b) became effective: December 2003.

- 3.3.2 How does the Lead Agency define “income” for the purposes of eligibility? Is any income deducted or excluded from total family income, for instance, work or medical expenses; child support paid to, or received from, other households; Supplemental Security Income (SSI) payments? Is the income of all family members included, or is the income of certain family members living in the household excluded? Please describe and/or include information as Attachment\_D and D.1 \_\_\_\_\_. (§§98.16(g)(5), 98.20(b))

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*The Lead Agency defines income as cash or in-kind benefits received by household members. It includes earned income and unearned income.*

*Eligibility for Employment Support Child Care is determined using the following eligibility criteria:*

- 1. Gross family income is counted. A medical deduction of \$100 for each household and \$100 work allowance deduction for each working parent is allowed. Court ordered child support paid, and first \$50 of child support received is also allowable deductions.*
- 2. Earned income exclusions include earned income of a minor child who is not the parent, earned income of an SSI recipient, and Earned Income Tax Credit.*
- 3. Unearned income exclusions include SSI payments, loans, government/rental subsidies, value of food program assistance, and Tribal benefits received by designated tribes.*
- 4. Assets: Families with countable assets in excess of \$8,000 may not receive child care subsidies. Assets exempt include the home the family lives in, lot the home sits on, one vehicle for each household member participating in employment activities, any irrevocable trust, ownership or beneficial interest in any land or account which is held in trust by the United States, this state, or tribal account.*
- 5. Net income is compared to the figures on the eligibility scale. Families with income in excess of the eligibility scale are not eligible for subsidies.*
- 6. Parents must cooperate with the Office of Recovery Services to obtain court ordered child support or establish support from absent parents for their children.*
- 7. Parents must be employed an average of 15 hours per week. For two parent Families, one parent must be employed an average of 15 hours per week and the other parent must be employed an average of 30 hours per week.*

3.3.3 Has the Lead Agency established additional eligibility conditions or priority rules, for example, income limits that vary in different parts of the State, special eligibility for families receiving TANF, or eligibility that differs for families that include a child with special needs? (658E(c)(3)(B), §98.16(g)(5), §98.20(b))

( ) No

(X) Yes, and the additional eligibility criteria are: (Terms must be defined in Appendix 2)

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*There are two main categories of child care eligibility, the Family Employment Program, funded by TANF, and Employment Supported Child Care, funded by CCDF, for other parents who need child care to support employment and employment and training activities. This reduces administrative costs because it requires minimum computer programming and the staff are familiar with the eligibility rules when delivering services.*

*Child care eligibility for Family Employment Program parents is determined by participation in an approved employment plan.*

*Income limits are raised to 85% State Median Income for families with children who have disabilities and have special child care needs. All other employment support criteria are the same.*

- 3.3.4 Has the Lead Agency elected to waive, on a case-by-case basis, the fee and income eligibility requirements for cases in which children receive, or need to receive, protective services, as defined in Appendix 2? (658E(c)(3)(B), 658P(3)(C)(ii), §98.20(a)(3)(ii)(A))

☒ (X) Not Applicable, CCDF-funded child care is not provided in cases in which children receive, or need to receive, protective services.

☐ ( ) No

☐ ( ) Yes

- 3.3.5 Does the Lead Agency allow child care for children above age 13 but below age 19 who are physically and/or mentally incapable of self-care? (Physical and mental incapacity must then be defined in Appendix 2.) (658E(c)(3)(B), 658P(3), §98.20(a)(1)(ii))

☐ ( ) No

☒ (X) Yes, and the upper age is 18.

- 3.3.6 Does the Lead Agency allow child care for children above age 13 but below age 19 who are under court supervision? (658P(3), 658E(c)(3)(B), §98.20(a)(1)(ii))

☐ ( ) No

☒ (X) Yes, and the upper age is 18.

- 3.3.7 Does the State choose to provide CCDF-funded child care to children in foster care whose foster care parents are not working, or who are not in education/training activities? (§§98.20(a)(3)(ii), 98.16(f)(7))

☐ ( ) Yes. (**NOTE:** This means that for CCDF purposes the State considers these children to be in protective services.)

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( X) No.

3.3.8 Does the State choose to provide respite child care to children in protective services?  
(§§98.16(f)(7), 98.20(a)(3)(ii)(A) & (B))

( ) Yes.

( X) No.

**Section 3.4 - Priorities for Children**

3.4.1 The following describes the priorities for serving CCDF-eligible children including how priority required by the statute is given to children of families with very low family income and children with special needs: (Terms must be defined in Appendix 2) (658E(c)(3)(B))

*During high demand for child care services, a waiting list process is implemented. Special needs children and very low income families are placed at the top of the list and are served first.*

*Families with children who have special child care needs may be served at 85% State Median Income. The Office of Child Care provides mini-grants of up to \$1,000 to child care providers who care for children with special needs. This money is available to allow the purchase of special toys and or equipment for the child. Utah also has a program which pays providers mini grants for special equipment, training, minor facility modifications and/or for identified costs to providers who care for special needs children and require additional provider services above and beyond regular child care needs. Utah continues to work on developing additional provider settings for these children.*

3.4.2 The following describes how CCDF funds will be used to meet the needs of families receiving Temporary Assistance for Needy Families (TANF), those attempting to transition off TANF through work activities, and those at risk of becoming dependent on TANF. (658E(c)(2)(H), Section 418(b)(2) of the Social Security Act, §§98.50(e), 98.16(g)(4))

*In Utah, Temporary Assistance for Needy Families (TANF) is known by and administered under the Family Employment Program (FEP). Utah's child care services will support these families when they are employed or are participating in activities that lead to employment as negotiated in their approved employment plan.*

*Utah will continue to service all working families transitioning off of the Family Employment Program and all other families at risk of becoming dependent on such assistance whose incomes are at or below 56% State Median Income. Child care continues for as long as the families meet the eligibility criteria established.*

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- 3.4.3 The following describes how the Lead Agency addresses situations in which funding is not sufficient to serve all families that are technically eligible under State policies:

*During high demand for child care services, a waiting list process is implemented. Special needs children and very low income families are placed at the top of the list and are served first.*

**Section 3.5 - Sliding Fee Scale for Child Care Services**

- 3.5.1 A sliding fee scale, which is used to determine each family's contribution to the cost of child care, must vary based on income and the size of the family. A copy of this sliding fee scale for child care services and an explanation of how it works is provided as Attachment D, D.1 AND E.

The attached fee scale is effective as of November 2003.

Will the Lead Agency use additional factors to determine each family's contribution to the cost of child care? (658E(c)(3)(B), §98.42(b))

- ( ) No.  
(X) Yes, and the following describes any additional factors that will be used to determine a family's contribution including, but not limited to, a maximum amount (family cap), number of children in care, cost of care, and/or whether care is full or part-time:

*The income adjustment or sliding fee scale varies based on income and the size of the family. There are other factors involved in the process of determining a child care payment. A participation cost is calculated based on parent participation in approved activities. A maximum monthly cap per child per month is established by the local market rate survey. The parent is responsible for paying the total cost for services to the designated provider. Payment is generated based on the lesser of the monthly maximum rate, participation cost, and provider charge.*

- 3.5.2 Is the sliding fee scale provided in the attachment in response to question 3.5.1 used in all parts of the State? (658E(c)(3)(B))

- (X) Yes  
( ) No, and other scale(s) and their effective date(s) are provided as Attachment \_\_\_\_\_.

- 3.5.3 The Lead Agency may waive contributions from families whose incomes are at or below the poverty level for a family of the same size, (§98.42(c)), and the poverty level used by the Lead Agency for a family

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of 3 is: **\$ 1272**

The Lead Agency must elect ONE of these options:

- ( ) ALL families with income at or below the poverty level for a family of the same size ARE NOT required to pay a fee.
- ( ) ALL families, including those with incomes at or below the poverty level for families of the same size, ARE required to pay a fee.
- (X) SOME families with income at or below the poverty level for a family of the same size ARE NOT required to pay a fee. A description of these families is:

*Some families who are at or below 100% of poverty are not subject to the income adjustment scale. These families participate in the Family Employment Program (FEP). Families who transition off of FEP may receive up to two consecutive months of child care without being required to pay a fee. They must meet all other employment support eligibility factors.*

3.5.4 Does the Lead Agency have a policy that prohibits a child care provider from charging families any unsubsidized portion of the provider's normal fees (in addition to the contributions discussed in 3.5.1)? (§98.43(b)(3))

- (X) No
- ( ) Yes, please describe:

3.5.5 The following is an explanation of how the copayments required by the Lead Agency's sliding fee scale(s) are affordable: (§98.43(b)(3))

*Families with income at or below the federal poverty level are required to pay a low minimum co-payment that does not exceed 10% of their gross income. The highest fee a family is required to pay does not exceed 15% of family income. Income groups are defined on Attachments D and D.1, Eligibility Tables. Income groups are based on the number of people in the household.*

### **Section 3.6 - Certificate Payment System**

A child care certificate means a certificate, check, or other disbursement that is issued by the Lead Agency directly to a parent who may use it only to pay for child care services from a variety of providers including community and faith-based providers (center-based, group home, family and in-home child care), or, if required, as a deposit for services. (658E(c)(2)(A)), 658P(2), §§98.2, 98.16(k), 98.30(c)(3) & (e)(1))

Describe the overall child care certificate payment process, including, at a minimum:

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3.6.1 A description of the form of the certificate: (§98.16(k))

*Form 980 (Attachment F), Child Care Subsidy Worksheet, is the certificate that authorizes child care services for parents. The form is used to determine the need for child care to support parent's participation in approved activities. It is also used to identify the provider type, hours each child is in child care, and provider charge for services. Upon eligibility determination and authorization of assistance, the parent's child care subsidy is either transferred to their Utah Horizon Card or to a two-party check that is mailed to the parent.*

3.6.2 A description of how the certificate program permits parents to choose from a variety of child care settings by explaining how a parent moves from receipt of the certificate to the choice of provider: (658E(c)(2)(A)(iii), 658P(2), §§98.2, 98.30(c)(4) & (e)(1) & (2))

*Eligible parents are referred to their local child care resource and referral agency for assistance in selecting appropriate child care. They may choose any provider that is licensed or that meets minimum health and safety standards established. Parents take the certificate, Form 980, to the provider of their choice to complete.*

*Utah's Payment-to-Parents Assisted Child Care program is designed to allow the parents maximum choice in selecting their child care provider. The subsidy is given directly to the parents.*

3.6.3 If the Lead Agency is also providing child care services through grants and contracts, explain how it ensures that parents offered child care services are given the option of receiving a child care certificate. (§98.30(a) & (b))

*NA*

## PART 4 - PROCESSES WITH PARENTS

4.1 The following describes the process for a family to apply for and receive child care services (658D(b)(1)(A), 658E(c)(2)(D) & (3)(B), §§98.16(k), 98.30(a) through (e)). If the process varies for families based on eligibility category, for instance, TANF versus non-TANF, please describe. The description should include:

- How parents are informed of the availability of child care services and about child care options;
- Where/how applications are made;
- Who makes the eligibility determination;
- How parents who receive TANF benefits are informed about the exception to individual penalties as described in 4.4; and
- Length of eligibility period including variations that relate to the services provided, e.g., through collaborations with Head Start or pre-kindergarten programs.
- Any steps the State has taken to reduce barriers to initial and continuing eligibility for child care subsidies.

*Information on the availability of child care subsidies is available to the public through a variety of sources. Parents may learn of the program through the resource and referral agency network, which collects and updates detailed information on available child care resources, child care providers, or from any number of child care advocacy groups (listed below).*

- *Utah Children*
- *State CAP agencies*
- *Child Care Resource and Referral*
- *Child Care Provider Associations*
- *Head Start grantees*

*Individuals receiving TANF are told that child care subsidies are available as part of the eligibility interview. Brochures outlining DWS supportive services, including child care assistance, are displayed in local employment centers.*

*Families may receive child care subsidies by making application in the local Employment Center of the Department of Workforce Services. Initial eligibility determination is made by the Employment Center, Department of Workforce Services staff. Ongoing eligibility may be managed at the Employment Center or by the Regional Eligibility Service Center, Department of Workforce Services depending on the area. See Attachment G for a list of locations.*

*Parents are advised during the eligibility interview that they may choose their own child care provider. Eligible families may choose child care services from providers*



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*who are licensed or providers who meet minimum health and safety standards as described in 3.1.1. Parents are encouraged to choose child care arrangements that best meet the family needs. Parents are referred to the local CCR&R when assistance is needed in locating child care.*

*Parents receive the Form 980, Child Care Subsidy Worksheet that they present to the child care provider of their choice. The provider declares the monthly rate charged for their child care services, monthly hours each child is in care, and signs the Form 980.*

*The parent's weekly hours of participation in approved activities and monthly provider charge is entered into the PACMIS computer system. PACMIS calculates a participation cost and determines the amount of the payment based on the lesser of the participation cost, provider charge, and monthly local market rate. The payment is issued via the Utah Horizon Card or a two-party check and mailed to the parent. Refer to section 3.6.2*

*If at any time a TANF recipient is unable to locate appropriate child care, the DWS Service Provider will assist and discuss alternatives with the parent. When it is clear that there is an inability to obtain needed child care, the DWS Service Provider will discuss the exception to individual penalties as described in 4.4 in terms of employment plan activities. This process is handled in person with the TANF recipient and on a case-by-case basis.*

*Need for child care is re-established at reviews or sooner as determined by the DWS Service Provider. Review periods may be approved for up to 6 months for stable child care cases. Monthly eligibility continues until such time as the parent is no longer eligible.*

*Steps the State has taken to reduce barriers to initial and continuing eligibility for child care subsidies.*

*Child Care Eligibility Study in Process. The purpose of the project is to simplify the child care eligibility process in Utah while maintaining the integrity of the program. Work groups have been organized to study three main segments of the child care eligibility process: Determining the Need for Child Care, Reporting Changes, and Kith/Kin. NCCIC has provided technical assistance to our team. The project recommendations are being organized into short, mid and long-term recommendations. It is anticipated that the short-term recommendations will be implemented in January 2004. Long-term recommendations are contingent on the further development and implementation of a inter-agency case management computer system. See Attachment H for the project's Scope of Work.*

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- 4.2 The following is a detailed description of how the State maintains a record of substantiated parental complaints and how it makes the information regarding such parental complaints available to the public on request. (658E(c)(2)(C), §98.32))

*The Bureau of Facility Licensing-Child Care Unit investigates all complaints and maintains records of substantiated parental complaints for all Licensed and Residentially Certified providers. Anyone can file a complaint in person, by phone, or in writing. Parents may receive information on substantiated complaints at any time upon request.*

*A file of substantiated parental complaints about license exempt providers is maintained by the Department of Workforce Services. The parent can make a complaint in person, by phone, or in writing. Abuse and neglect complaints are referred to Department of Human Services, Child Protective Services or the local law enforcement agency for investigation. A record is established on all substantiated complaints and is available at any time upon request. Parents who make complaints against exempt providers for child abuse or lack of health and safety are encouraged to contact local authorities and have the option to select another provider and may be referred to the local Child Care Resource and Referral agency for assistance in finding another setting. The Department of Workforce Services may help the parent file a child protective service complaint with the police or Division of Child and Family Services.*

- 4.3 The following is a detailed description of the procedures in effect in the State for affording parents unlimited access to their children whenever their children are in the care of a provider who receives CCDF funds. (658E(c)(2)(B), §98.31))

*The Bureau of Facility Licensing-Child Care Unit monitors licensed and residentially certificate providers. Providers are required to certify that parents are allowed access to their children at all times. Parents are afforded unlimited access to their children in care. Licensed exempt providers must sign an agreement that outlines health and safety criteria and accessibility to children by parents. Parents monitor license exempt providers. The Department of Workforce Services maintains a list of complaints that is provided to us by the Department of Health, Bureau of Licensing.*

- 4.4 The regulations at §98.33(b) require the Lead Agency to inform parents who receive TANF benefits about the exception to the individual penalties associated with the work requirement for any single custodial parent who has a demonstrated inability to obtain needed child care for a child under 6 years of age.

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*In fulfilling this requirement, the following criteria or definitions are applied by the TANF agency to determine whether the parent has a demonstrated inability to obtain needed child care:*

NOTE: The TANF agency, not the Child Care Lead Agency, is responsible for establishing the following criteria or definitions. These criteria or definitions are offered in this Plan as a matter of public record. The TANF agency that established these criteria or definitions is: *The Department of Workforce Services - Service Delivery Support*\_\_.

- "appropriate child care":

*Appropriate child care is determined by the parent. The parent chooses the care setting that best meets the child's developmental needs. "Finding" appropriate child care will be counted as parent participation in the State's TANF program. To find appropriate child care, parents are referred to their local child care resource and referral agency.*

- "reasonable distance":

*Travel that requires a two hour round trip unless the commute time for the community is generally longer.*

- "unsuitability of informal child care":

*A care setting chosen by the parent that is operating illegally as defined by Utah law or setting where substantiated evidence of child abuse exists.*

- "affordable child care arrangements":

*An available provider in the community whose charge for services does not exceed the MLMR established at the 75<sup>th</sup> percentile.*

## **PART 5 - ACTIVITIES & SERVICES TO IMPROVE THE QUALITY AND AVAILABILITY OF CHILD CARE**

### **5.1 - Quality Earmarks and Set-Asides**

- 5.1.1 The Child Care and Development Fund provides earmarks for infant and toddler care and school-age care and resource and referral services as well as the special earmark for quality activities. The following describes the activities; identifies the entities providing the activities; and describes the expected results of the activities.

***Infants and toddlers:** The two overarching outcome goals for the Office of Child Care Infant/Toddler activities are to:*

- 1. To increase the availability of infant/toddler care in Utah.*
- 2. To increase the affordability of infant/toddler care in Utah.*
- 3. To increase the quality of infant/toddler care in Utah.*

*These goals will be achieved through the following activities:*

*New Initiative #1. "Baby Steps": Beginning July 1, 2003 all centers who provide infant and/or toddler care will be eligible for small grants to increase the quality of care and to help offset the cost of providing infant care. Directors and caregivers will attend 40 hours of training and obtain the Infant/Toddler Endorsement. Directors will complete a self-assessment using the Infant/Toddler Environment Rating Scale – Revised (ITERS-R) and set quality improvement goals. Centers will need to increase their scores on the ITERS-R by ½ point each year to remain eligible. See Attachment I for complete eligibility information.*

*On going Initiatives.*

*Quality improvement grants are available to both licensed center and family care providers. Grants opportunities occur three times per year. Grant are awarded using a pre and post outcome/measurement process using the Environment Rating Scales (ERS).*

*Career Ladder Training: The Early Childhood Career Ladder includes an Infant/Toddler Endorsement, which consists of 40 hours of specialized training in working with infants and toddlers. This training is taught statewide through the Child Care Resource & Referral system. To date, 65 providers have received the Infant/Toddler Endorsement.*

*Family Child Care Start-Up Grants. Child Care Resource and Referral will encourage recruitment of infant and toddler care providers by offering on-going start-up grants for family child care providers.*

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***Resource and referral services:*** *The two overarching outcome goals for the Office of Child Care Resource and Referral activities are to:*

- 1. To support families by increasing their access to child care and parenting resources.*
- 2. To support child care providers to expand the supply and enhance the quality of care.*

*These goals will be achieved through the following activities:*

*-The Office of Child Care will continue to provide child care resource and referral (CCRR) network support.*

*-The Office of Child Care will continue to support the following CCRR Core Services:*

*Maintain comprehensive database  
Furnish individualized consumer education  
Initiate or maintain community collaboration and outreach  
Recruit new child care resources  
Retain existing child care resources  
Provide technical assistance to child care providers and parents  
Render child care training  
Initiate or maintain employer information and support*

*The Department of Workforce Services contracts with the following entities for the delivery of Resource and Referral services:*

*Utah State University  
Weber State University  
Children's Service Society of Utah  
Utah Valley State College  
College of Eastern Utah  
Five County Association of Governments*

***School-Age.*** *The three overarching outcome goals for the Office of Child Care School-Age activities are to:*

- 1. To increase the availability and quality of school-age care in Utah.*
- 2. To develop an increased number of public/private partnerships designed to enhance programs for school-age children.*
- 3. To develop an appropriate funding strategy for school age-care in Utah.*

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*These goals will be achieved through the following activities:*

New Initiatives #1. *Youth Connections a grant program designed specifically for elementary school youth. The Youth Connections grant will service low-income at-risk youth, for a maximum of six years. The purpose of the funding will be to expand the capacity of an existing program to serve more youth and/or to expand the capacity of an existing program to increase service hours.*

New Initiative #2. *In July 2003 Utah will implement a School Age Career Ladder program. This program will mirror the Early Childhood Career Ladder, but with training focused on working with school-age children in out-of-school-time programs. The goal of this program is to improve the quality of care children receive by increasing the training and education levels of school-age child care providers.*

On going Initiatives.

*Licensed child care providers have an opportunity to apply three times each year and an opportunity to receive a Quality Improvement (QI) grant annually, based on Environment Rating Scale (ERS) reviews completed by consultants.*

- 5.1.2 The law requires that not less than 4% of the CCDF be set aside for quality activities. (658E(c)(3)(B), 658G, §§98.13(a), 98.16(h), 98.51) The Lead Agency estimates that the following amount and percentage will be used for the quality activities (not including earmarked funds):

\$ 5,642,000 ( 15.75 %)

- 5.1.3 Check either "Yes" or "No" for each activity listed to indicate the activities the Lead Agency will undertake to improve the availability and quality of child care (include activities funded through the 4% quality set-aside as well as the special earmark for quality activities). (658D(b)(1)(D), 658E(c)(3)(B), §§98.13(a), 98.16(h))

Yes No

- |                                     |                          |  |
|-------------------------------------|--------------------------|--|
| <input checked="" type="checkbox"/> | <input type="checkbox"/> | Comprehensive consumer education;  |
| <input checked="" type="checkbox"/> | <input type="checkbox"/> | Grants or loans to providers to assist in meeting State and local standards;   |
| <input checked="" type="checkbox"/> | <input type="checkbox"/> | Monitoring compliance with licensing and regulatory requirements;  |
| <input checked="" type="checkbox"/> | <input type="checkbox"/> | Professional development, including training, education, and technical assistance;   |
| <input checked="" type="checkbox"/> | <input type="checkbox"/> | Improving salaries and other compensation for child care providers;  |
| <input checked="" type="checkbox"/> | <input type="checkbox"/> | Activities in support of early language, literacy, pre-reading, and numeracy development;  |
| <input checked="" type="checkbox"/> | <input type="checkbox"/> | Activities to promote inclusive child care;  |
| <input checked="" type="checkbox"/> | <input type="checkbox"/> | Healthy Child Care America and other health activities including those designed to promote the social and emotional development of children; |

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  X        Other quality activities that increase parental choice, and improve the quality and availability of child care. (§98.51(a)(1) and (2))

- 5.1.4 Describe each activity that is checked "Yes" above, identify the entity(ies) providing the activity, and describe the expected results of the activity.

**Comprehensive Consumer Education.**

*"Care About Child Care" Campaign. In May 2003, Utah began a statewide public awareness campaign to increase awareness of the importance of quality child care. The campaign includes television and radio spots, newspaper articles, and informational materials about child care and operates a website: [www.careaboutchildcare.org](http://www.careaboutchildcare.org) See Attachment J for press kit.*

*Parents applying for assisted child care subsidy receive information during the initial interview by viewing a slide show or a video on "How to Choose Quality Child Care". Pamphlets and booklets addressing quality child care are available in the waiting area of each Department of Workforce Services Employment Center.*

*Child Care Resource and Referral agencies offer community workshops upon request on choosing quality child care.*

*The Office of Child Care maintains a website designed to provide consumer information, work/life information, and supportive links. [www.jobs.utah.gov/occ](http://www.jobs.utah.gov/occ)*

*The Office of Child Care Advisory Committee Public Awareness sub-committee will continue to work on a comprehensive public awareness plan.*

*The Department of Workforce Services provides the Office of Child Care with press release and public affairs support. The Office of Child Care's public awareness plan will be part of the over all Department of Workforce Services communication plan.*

*See Attachment K-P for samples of consumer education materials.*

**Grants or loans to providers to assist in meeting State and local standards.**

*Accreditation Support Projects. Utah supports national accreditation for both family and center child care programs through grants to statewide provider associations. Accreditation grant monies can be used to purchase accreditation materials for interested programs, to provide mentoring to programs in the accreditation process, and to pay for accreditation validation visits.*

*Baby Steps is a grant program for all centers who provide infant and/or toddler care. Programs will be eligible for small grants to increase the quality of care and to help offset the cost of providing infant care. Directors and caregivers will attend 40 hours of*

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*training and obtain the Infant/Toddler Endorsement. Directors will complete a self-assessment using the Infant/Toddler Environment Rating Scale – Revised (ITERS-R) and set quality improvement goals. Centers will need to increase their scores on the ITERS-R by ½ point each year to remain eligible.*

*Provider Association Grants. Provide financial support to legally recognized child care provider associations in Utah for the purpose of supporting training, newsletters, and special projects.*

*Quality Improvement (QI) Grants. Licensed child care providers have an opportunity to apply three times each year and an opportunity to receive a QI grant annually, based on Environment Rating Scale (ERS) reviews completed by consultants.*

*Start-Up/Expansion Grants. First cohort of grantees, both child care centers and family child care programs (2002) will enter a second year of a three year, reduced funding, grant. State needs assessment will be completed each year during January and February. In FY04 OCC will not release Start-Up/Expansion grants to centers. However, in year FY04, Start-Up Grants will be offered to Family Child Care and Family Group Child Care providers in a year-long open enrollment application through regional Child Care Resource and Referral Agencies.*

*Youth Connections a grant program designed specifically for elementary school youth. The Youth Connections grant will service low-income at-risk youth, for a maximum of six years. The purpose of the funding will be to expand the capacity of an existing program to serve more youth and/or to expand the capacity of an existing program to increase service hours.*

**Monitoring of compliance with licensing and regulatory requirements.**

*The Department of Workforce Services/Office of Child Care has an Interagency Agreement with the Utah Department of Health/Child Care Licensing and through the use of CCDF funds, financially supports child care licensing and regulatory activities.*

**Professional development, including training, education, and technical assistance.**

*The two overarching outcome goals for the Office of Child Care Training and Professional Development activities are to:*

- 1. Improve the quality of child care for all children in Utah by increasing the levels of education and experience of early childhood/child care workers.*
- 2. Improve school readiness in Utah's children by increasing the levels of training and expertise of early childhood/child care workers.*

*These goals will be met by the following activities:  
Career Ladder:*

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*Utah will continue its Early Childhood Career Ladder program. The goal of this program is to improve the quality of care children receive by increasing the training and education levels of child care providers. The program offers community-based training for child care providers throughout Utah through Utah's CCR&R network. It also acknowledges and rewards providers for the completion of both community-based and college credit early childhood training. In addition to the 10 possible levels of Career Ladder certification, providers may also receive Career Ladder Endorsements for the completion of 40 hours of specialized training in the following areas: Infant & Toddler Care, Caring for Children with Special Needs, Center Administration, and Family Child Care. During FY04 Utah will also contract for the development of additional Career Ladder Endorsement training in the areas of school readiness and children's mental health.*

*In July 2003 Utah will also implement a School Age Career Ladder program. This program will mirror the Early Childhood Career Ladder, but with training focused on working with school-age children in out-of-school-time programs.*

*Training & Longevity Supplement:*

*In July 2003 Utah will implement a Training & Longevity Supplement Program.*

*This program has two goals:*

- To improve the quality of care children receive by reducing turnover among caregivers, thereby allowing children to develop stable, consistent relationships with a limited number of caregivers.*
- To improve the quality of care children receive by encouraging providers to participate in ongoing training. The program offers individual caregivers working in licensed child care programs a yearly wage supplement of between \$100 and \$900. The amount of the supplement is dependent upon a combination of the provider's level of Career Ladder certification and his or her years of continuous employment in the same child care program.*

*Professional Development Institute:*

*In 2003 Utah will begin a collaborative partnership with a college or university in the creation of a Child Care Professional Development Institute.*

- *The Institute will initially focus on five major goals:*
  - 1) In collaboration with the State Office of Education, establish research-based pre-k guidelines and develop 40 hours of school readiness training for child care providers based on these guidelines.*
  - 2) Administer a CDA scholarship program for providers.*
  - 3) Establish a program to improve the skills of current Career Ladder Trainers and certify additional trainers.*
  - 4) Establish a process for the review and approval of additional community-based Career Ladder training.*
  - 5) Work with Utah's colleges and universities for improved collaboration and access in degree programs for child care providers. The processing of Career*

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*Ladder applications will also eventually be moved to the Professional Development Institute.*

*Statewide Training Registry:*

*In July 2003 Utah will make online access to the Statewide Training Registry available to child care providers. The Registry tracks providers' CCR&R and Career Ladder completed training. Through the Registry, providers can register for CCR&R training courses, view their Career Ladder and Training & Longevity Supplement records, and print out a transcript of their training.*

*See Attachment Q for a detailed description of Utah's Professional Development plan.*

*Annual Professional Development Conference:*

*In collaboration with Utah's six statewide provider associations, Utah hosts an annual Professional Development Conference.*

- *The goals of the conference are:*
  - To acknowledge providers for their professional development and service accomplishments.*
  - To share information about child care programs and services.*
  - To offer fun and useful training on a variety of topics relevant to child care providers.*
  - To offer Utah's provider associations an opportunity to work together on a collaborative project.*

**Improving salaries and other compensation for child care providers.**

*Training & Longevity Supplement (TL\$):*

*In July 2003 Utah will implement a Training & Longevity Supplement Program.*

*This program has two goals:*

- To improve the quality of care children receive by reducing turnover among caregivers, thereby allowing children to develop stable, consistent relationships with a limited number of caregivers.*
- To improve the quality of care children receive by encouraging providers to participate in ongoing training. The program offers individual caregivers working in licensed child care programs a yearly wage supplement of between \$100 and \$900. The amount of the supplement is dependent upon a combination of the provider's level of Career Ladder certification and his or her years of continuous employment in the same child care program.*

**Activities in support of early language, literacy, pre-reading, and numeracy development.**

*Professional Development Institute:*

*In July 2003 Utah will begin a collaborative partnership with a college or university in the creation of a Child Care Professional Development Institute.*

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- *The Institute will initially focus on five major goals:*
    - In collaboration with the State Office of Education, establish research-based pre-k guidelines and develop 40 hours of school readiness training for child care providers based on these guidelines.*
    - Administer a CDA scholarship program for providers.*
    - Establish a program to improve the skills of current Career Ladder Trainers and certify additional trainers.*
    - Establish a process for the review and approval of additional community-based Career Ladder training.*
    - Work with Utah's colleges and universities for improved collaboration and access in degree programs for child care providers. The processing of Career Ladder applications will also eventually be moved to the Professional Development Institute.*

**Activities to promote inclusive child care.**

*Creation of a new Career Ladder Training Endorsement.* *“Working with Children with Challenging Behaviors”. The Office of Child Care as contracted with a local children's mental health agency to create the curriculum and to develop a train the trainer program. This project will require multiple years to roll out in its entirety.*

*Utah's Career Ladder program includes a Special Needs Endorsement for providers, which consists of 40 hours of specialized training, including children with special needs in child care programs. To date, 45 providers have completed the Special Needs Endorsement training.*

*The Executive Director of Easter Seals Utah is a newly appointed member of our Advisory Committee. We look forward to exploring ways to collaborate to promote inclusive child care.*

*Healthy Child Care America and other health activities including those designed to promote the social and emotional development of children.*

*Grants, Scales and Quality Improvement.* *All grant programs, the Baby Steps Project and the Steps to the Stars program, utilize the Environment Rating Scales (Harms, Cryer and Clifford) to focus quality improvement efforts. A significant portion of the scales focuses on health and safety issues. The most recent edition of Caring For Our Children (published by the AAP, the APHA and Health Child Care America) is a primary resource material for consultants using the scale.*

*Career Ladder.* *The 10 hour Health and Safety training developed through Utah's Healthy Child Care America grant is included in level 1 of Utah's Career Ladder program. Arrangements for the delivery of this training are worked out locally between the CCR&Rs and the local health departments.*

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*Child Care Safety and Health.* *Healthy Child Care America supports initiatives that promote the health and safety of infants and young children in child care. The program supports State and community investments in three key areas of child care health systems development: quality assurance- through the development of Caring for Our Children: National Health and Safety Performance Standards: Guidelines for Out-of-Home Child Care Programs; infrastructure building- to create state-wide networks of child care health consultants; and access to health insurance -to assure a medical home for children in child care settings.*

**Other quality activities that increase parental choice, and improve the quality and availability of child care.**

*Economic impact of child care.*

"The money spent for these services flows through the Utah economy, supporting jobs and providing income for Utah workers and generating tax revenue for state and local units of government." In 2003, Utah will study the economic impact that child care has on our state and communities.

*Work/Life Awards.* *The Department of Workforce Services/Office of Child Care is continuing the process of identifying Utah's Top Ten Most Family-Friendly Companies. This project has been successful in educating and engaging the business community on the importance of forward thinking work/life policies. The fifth annual awards were presented in April 2002. The award process for the sixth year will begin in September 2003 in conjunction with the Department of Workforce Services Employer Summit.*

*Employer Champions for Child Care.* *Employer Champions for Child Care is a public/private partnership dedicated to bringing business leaders, policy makers and advocates together to develop and achieve objectives designed to improve child care and early education in Utah. The Department of Workforce Services Regional Councils, the Office of Child Care Advisory Committee and community advocates are exploring this exciting new corporate initiative.*

5.1.5 Is any entity identified in sections 5.1.1 or 5.1.4 a non-governmental entity?

( ) No.

(X ) Yes, the following entities named in this part are non-governmental:

*Child Care Resource and Referral*  
*Child care providers – for profit*  
*Child care providers – non-profit*  
*School districts*  
*Child care provider professional associations*  
*Private employers*

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## **5.2 - Good Start, Grow Smart Planning and Development**

This section of the Plan relates to the President's *Good Start, Grow Smart* initiative which is envisioned as a Federal-State partnership that creates linkages between CCDF, including funds set-aside for quality, and State public and private efforts to promote early learning. In this section, each Lead Agency is asked to assess its State's progress toward developing voluntary guidelines on language, literacy, pre-reading, and numeracy, a plan for the education and training of child care providers, and a plan for coordination across at least four early childhood programs and funding streams.

### **5.2.1 - Voluntary Guidelines for Early Learning**

- Indicate which of the following best describes the current **status** of the State's efforts to develop research-based early learning guidelines (content standards) regarding language, literacy, pre-reading, and numeracy for three to five year-olds:
  - a) ☐ Preliminary thinking or planning.
  - b) ☐ Guidelines are being developed.
  - c) ☒ Guidelines are developed but need to be modified. (See Attachment R)
  - d) ☐ Guidelines are developed and implementation is in progress.
  - e) ☐ Guidelines are developed and implemented in pre-kindergarten programs but not in child care.
  - f) ☐ Guidelines are developed and implemented.
  - g) ☐ Other. Please describe:
- Describe the **process** that was used or is planned for developing the State's early learning guidelines. Indicate who or what entity provided (or is providing leadership) to the process as well as the stakeholders involved. Was (or is) the process framed by State legislation, research and/or guiding principles? If so, please describe. How are (or will) the early learning guidelines and the State's K-12 educational standards aligned? If they are not aligned, what steps will be taken to align them? If the early learning guidelines are in development, what is the expected date of completion?

*In 1999, a team of early childhood professionals gathered at the behest of the Utah Office of Education to create Pre-K Standards/Guidelines. The guidelines were completed and published in 2000. Unfortunately, budget cuts and staff turnover negatively impacted the project and the guidelines were never implemented.*

*In 2003, the guidelines were revisited at the request of the Child Care Bureau and the Good Start/Grow Smart initiatives. The guidelines need to be modified based upon the guidance given by the Bureau.*

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*The Office of Child Care is taking the lead in the modification of the guidelines and the creation of a training and implementation plan. The State Office of Education will partner with the office for this purpose and it insure that the modified guidelines are aligned with current K-3 guidelines.*

*The guidelines are expected to be completed within the first contract year of the Professional Development Institute.*

- Describe the **domains** of development that the early learning guidelines address or are expected to address, e.g., social, emotional, cognitive, linguistic, and physical. States that have completed early learning guidelines should include a copy as an appendix to the plan. If the guidelines are available on the web, provide the appropriate Web site address.

*Social/Emotional*

*Language and Literacy*

*Cognitive – Math and Science*

*Aesthetic – Music, Visual Art, Drama, and Dance*

*Motor*

- Describe the process the State used or expects to use in **implementing** its early learning guidelines, e.g., feedback and input processes, dissemination, piloting, training in the use of the guidelines, and linkages with other initiatives such as incentives for provider education and training. To what extent is (or was) implementation anticipated in the development of the guidelines? To which child care settings do (or will) the guidelines apply and are the guidelines voluntary or mandatory for each of these settings? How are (or will) community, cultural, linguistic and individual variations, as well as the diversity of child care settings (be) acknowledged in implementation?

*The Office of Child Care's plan for the modification and implementation of the guidelines is as follows:*

*In the Spring 2003, an RFP was released to Utah colleges and universities to create an Early Childhood Professional Development Institute. The State Office of Education has agreed to co-sponsor this activity. The institute will be responsible to organize a team of early childhood professionals and lead the modification of the 2000 guidelines. The institute will then create a 40 hour Career Ladder Endorsement using the guidelines. The Pre-K Guidelines training endorsement will be added to the other Career Ladder Endorsements and delivered by child care resource and referral agencies statewide. As with all other Career Ladder Endorsements, the Pre-K Guidelines training will apply to all child care settings. The guidelines will be voluntary.*

*The Institute will also work with the Utah Family Center, the National Children's Reading Foundation, the Utah Reads Alliance and the PTA to insure that this information is*

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*disseminated to parents and/or family members of diverse backgrounds with pre-school age children.*

*Depending on budget constraints, a public awareness campaign will also be created.*

- As applicable, describe the State's plan for **assessing** its early learning guidelines. What will be the focus of the evaluation, i.e., guideline development and implementation, programs or child care settings, and/or outcomes related to children? Will young children's progress be evaluated based on the guidelines? How will assessment be used to improve the State's guidelines, child care programs, plans and outcomes for individual children?

*The Utah Legislature eliminated the Office of Education's Kindergarten Assessment in the 2002 legislative session. The Professional Development Institute will be responsible to work with the Office of Education to create an assessment tool to measure child outcomes for those children who have had exposure to the Pre-K guidelines either through a child care provider or family member. This is a task for the second contract year.*

*The guidelines, appropriate training and collaborative alliances will be assessed and improved, if needed, as a result of the assessment.*

### **Section 5.2.2 - State Plans for Professional Development**

- Describe the provider training, technical assistance, and professional development opportunities that are available to child care providers. Are these opportunities available Statewide to all types of providers? If not, please describe.

*All provider training, technical assistance and professional development opportunities are available statewide.*

*Career Ladder:*

*Utah will continue its Early Childhood Career Ladder program. The goal of this program is to improve the quality of care children receive by increasing the training and education levels of child care providers. The program offers community-based training for child care providers throughout Utah through Utah's CCR&R network. It also acknowledges and rewards providers for the completion of both community-based and college credit early childhood training. In addition to the 10 possible levels of Career Ladder certification, providers may also receive Career Ladder Endorsements for the completion of 40 hours of specialized training in the following areas: Infant & Toddler Care, Caring for Children with Special Needs, Center Administration, and Family Child Care. During FY04 Utah will also contract for the development of additional Career Ladder Endorsement training in the areas of school readiness and children's mental health.*

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*In July 2003 Utah will also implement a School Age Career Ladder program. This program will mirror the Early Childhood Career Ladder, but with training focused on working with school-age children in out-of-school-time programs.*

#### *Training & Longevity Supplement:*

*In July 2003 Utah will implement a Training & Longevity Supplement Program.*

*This program has two goals:*

- To improve the quality of care children receive by reducing turnover among caregivers, thereby allowing children to develop stable, consistent relationships with a limited number of caregivers.*
- To improve the quality of care children receive by encouraging providers to participate in ongoing training. The program offers individual caregivers working in licensed child care programs a yearly wage supplement of between \$100 and \$900. The amount of the supplement is dependent upon a combination of the provider's level of Career Ladder certification and his or her years of continuous employment in the same child care program.*

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- *The Institute will initially focus on five major goals:*
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  - Establish a program to improve the skills of current Career Ladder Trainers and certify additional trainers.*
  - Establish a process for the review and approval of additional community-based Career Ladder training.*
  - Work with Utah's colleges and universities for improved collaboration and access in degree programs for child care providers. The processing of Career Ladder applications will also eventually be moved to the Professional Development Institute.*

#### *Statewide Training Registry:*

*In July 2003 Utah will make online access to the Statewide Training Registry available to child care providers. The Registry tracks providers' CCR&R and Career Ladder completed training. Through the Registry, providers can register for CCR&R training courses, view their Career Ladder and Training & Longevity Supplement records, and print out a transcript of their training.*

#### *Annual Professional Development Conference:*

*In collaboration with Utah's six statewide provider associations, Utah hosts an annual Professional Development Conference.*

- *The goals of the conference are:*

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- To acknowledge providers for their professional development and service accomplishments.*
  - To share information about child care programs and services.*
  - To offer fun and useful training on a variety of topics relevant to child care providers.*
  - To offer Utah's provider associations an opportunity to work together on a collaborative project.*

- Does the State have a child care provider professional development **plan**?

- ( X )      Yes. Identify the entities involved in the development of the plan and whether the plan addresses all categories of providers. As applicable, describe: how the plan includes a continuum of training and education, including articulation from one type of training to the next; how the plan addresses training quality including processes for the approval of trainers and training curriculum; how the plan addresses early language, literacy, pre-reading, and numeracy development. Indicate whether the plan is linked to early learning guidelines and, if so, how.

*The plan was initially developed in 1993 by the Office of Child Care. The plan was created but not implemented. In 1998 many of the original group was reconvened to discuss plans for implementation. The team included child care providers, education folks, head start, and licensing. The plan addresses all categories of providers.*

*The original plan has been enhanced a few times and as evolved into what is now the Utah Professional Development Plan. The plan includes, the Career Ladder and the Training and Longevity Supplement (TL\$). Training that can be used on the career ladder includes the full continuum from community based training (such as ccrr), to ceus from any source, to college credit coursework. Community based ccrr training can also be taken for ceus if the provider desires. And most of Utah's community colleges will offer college credit for an active CDA credential. That is the only articulation we have right now.*

*Career ladder trainers must have at least an associate's degree as well as related experience in child care and adult training. All career ladder trainer credentials are reviewed by the Office of Child Care prior to their approval as a career ladder trainer. OCC also works with trainers, through the ccrr on an ongoing basis to improve their training skills.*

*All existing career ladder curriculum was reviewed by a committee consisting of three early childhood college instructors. The Professional Development Institute will work on developing a process for approving additional career ladder training. These topics are all addressed now in specific community based career ladder courses. The plan is not currently linked to early learning guidelines. As the guidelines are modified, this will occur over time.*

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- ( ) No. Indicate whether steps are under way to develop a plan. If so, describe the time frames for completion and/or implementation, the steps anticipated, and how the plan is expected to support early language, literacy, pre-reading and numeracy.
- Are program or provider-level **incentives** offered to encourage provider training and education? If yes, please describe. Include any links between the incentives and training relating to early language, literacy, pre-reading, and numeracy.

*Yes. Both the Career Ladder and the Training and Longevity Supplement (TL\$) are incentives to encourage provider training and education.*

*Career Ladder:*

*Utah will continue its Early Childhood Career Ladder program. The goal of this program is to improve the quality of care children receive by increasing the training and education levels of child care providers. The program offers community-based training for child care providers throughout Utah through Utah's CCR&R network. It also acknowledges and rewards providers for the completion of both community-based and college credit early childhood training. In addition to the 10 possible levels of Career Ladder certification, providers may also receive Career Ladder Endorsements for the completion of 40 hours of specialized training in the following areas: Infant & Toddler Care, Caring for Children with Special Needs, Center Administration, and Family Child Care. During FY04 Utah will also contract for the development of additional Career Ladder Endorsement training in the areas of school readiness and children's mental health.*

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*Training & Longevity Supplement:*

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*This program has two goals:*

*-To improve the quality of care children receive by reducing turnover among caregivers, thereby allowing children to develop stable, consistent relationships with a limited number of caregivers.*

*-To improve the quality of care children receive by encouraging providers to participate in ongoing training. The program offers individual caregivers working in licensed child care programs a yearly wage supplement of between \$100 and \$900. The amount of the supplement is dependent upon a combination of the provider's level of Career Ladder certification and his or her years of continuous employment in the same child care program.*

- What are the expected **outcomes** of the State's professional development plan and efforts to improve the skills of child care providers? As applicable, how does (or will) the State assess

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the effectiveness of its plan and efforts? If so, how does (or will) the State use assessment to help shape its professional development plan and training/education for child care providers?

*Our expected outcome is that the quality of care children receive will improve. Our strongest assessment tool for this and all of our programs is the environment rating scales. We are in process of training TA consultants to reliability. Once this completed, and ta consultants are doing full scales annually as part of our grants process, then it would be a simple matter to compare the initial scales scores in classrooms or homes of providers who have Career Ladder certifications vs. the scores of those who don't.*

*Depending on the outcome of the above comparison, we will make modifications to the training itself, or provide targeted training.*

*Also, we are measuring the participation levels of providers in Utah's Professional Development programs.*

### **Section 5.2.3 - State Plan for Program Coordination**

- Does the State have a **plan** for coordination across early childhood programs?

( X )      Yes.

Indicate whether there is an entity that is responsible for ensuring that such coordination occurs. Indicate the four or more early childhood programs and/or funding streams that are coordinated and describe the nature of the coordination.

*Early Childhood Coordinating Council – lead entity – statewide systems development*

*Head Start /Early Head Start – collaboration in training and eligibility issues*

*Head Start Collaboration*

*Office of Education – Good Start/Grow Smart*

*Utah Department of Health, Early Intervention Baby Watch – activities to promote inclusive child care*

*Utah Department of Health/Child Care Licensing Bureau – regulatory and quality*

*Utah Department of Human Services – child welfare issues*

*Utah Department of Workforce Services/TANF – eligibility issues*

*Utah Family Center/PTA – Good Start/Grow Smart*

( )      No.

Indicate what steps are under way to develop a plan for coordination.

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- Describe the **results** or expected results of this coordination. Discuss how these results relate to the development and implementation of the State's early learning guidelines, plans for professional development, and outcomes for children.

*The goal of interagency coordination is to provider multi-agency support for early childhood programs and to leverage funding where possible. The Office of Child Care Advisory Committee is comprised of individuals who represent early childhood programs and/or major early childhood funding streams. The work of this committee is to share information and to coordinate where possible, in the development of programs that support the quality, affordability and availability of child care in Utah. The committee has an annual planning retreat and meets on a monthly basis.*

*The Early Childhood Coordinating Council is currently working to organize a statewide strategic plan for early childhood systems in Utah.*

- Describe how the State's plan supports or will support continued coordination among the programs. Are changes anticipated in the plan?

This state plan is dependant on many Utah early care and education stakeholders. The state child care administrator participants on many inter-agency and community committees that address early childhood and child care issues. The Office of Child Care Advisory Committee is a group that represents a wide array of individuals who are also interested in the availability and affordability of quality child care. In these ways, continues coordination is assured.

In the coming months, changes are anticipated in our plan. The primary changes will occur in the child care subsidy program.

## **PART 6 - HEALTH AND SAFETY REQUIREMENTS FOR PROVIDERS**

(ONLY THE 50 STATES AND THE DISTRICT OF COLUMBIA COMPLETE PART 6.  
ONLY TERRITORIES COMPLETE PART 7.)

The National Resource Center for Health and Safety in Child Care (NRCHSCC) of DHHS's Maternal and Child Health Bureau supports a comprehensive, current, on-line listing of the licensing and regulatory requirements for child care in the 50 States and the District of Columbia. In lieu of requiring a State Lead Agency to provide information that is already publicly available, ACF accepts this compilation as accurately reflecting the States' licensing requirements. The listing, which is maintained by the University of Colorado Health Sciences

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Center School of Nursing, is available on the World Wide Web at: <a href="http://nrc.uchsc.edu/">http://nrc.uchsc.edu/</a>
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**Section 6.1 - Health and Safety Requirements for Center-Based Providers** (658E(c)(2)(F), §§98.41, §98.16(j))

6.1.1 Are all center-based providers paid with CCDF funds subject to licensing under State law that is indicated in the NRCHSCC's compilation? If:

- ( ) YES, answer 6.1.2 and proceed to 6.2.  
(X) NO, answer 6.1.2 and 6.1.3.

6.1.2 Have center licensing requirements as relates to staff-child ratios, group size, or staff training been modified since approval of the last State Plan? (§98.41(a)(2) & (3))

- (X) NO  
( ) YES, and the changes are as follows:

6.1.3 For center-based care that is NOT licensed, and therefore not reflected in NRCHSCC's compilation, the following health and safety requirements apply to child care services provided under the CCDF for:

- The prevention and control of infectious disease (including age-appropriate immunizations)

*All licensed child care centers in Utah are subject to licensing and regulatory requirements available through NRCHSCC as outlined above. Utah maintains a database of providers who are NOT licensed (exempt by Utah law). These providers self-certify that they meet minimum health and safety standards, which include prevention and control of infectious disease. Records of age-appropriate child immunizations must be kept on file with the caregiver.*

*Utah defines licensed exempt providers who are registered on the licensed exempt database as: “non-relative private home providers caring for four or fewer children; relatives; and care provided as part of an education institution regulated by the boards of education of Utah; parochial schools or a parochial child care institution where an education curriculum is offered”.*

- Building and physical premises safety

*License exempt providers must maintain a working telephone with emergency numbers posted near the telephone. Hazardous material must be stored in an area inaccessible to children. Providers must meet all the local and state fire and safety requirements as*

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*defined by law. An approved fire extinguisher and smoke detectors on each floor occupied by children are required.*

*License exempt center facilities are required to be inspected by a Fire Marshall and local health sanitation inspectors.*

- Health and safety training

*Licensed exempt providers may receive notification of training opportunities via their local child care resource and referral agency upon request. Available training includes CPR, First Aid, basic nutrition, and cleanliness.*

**Section 6.2 - Health and Safety Requirements for Group Home Providers** (658E(c)(2)(F), §§98.41, 98.16(j))

6.2.1 Are all group home providers paid with CCDF funds subject to licensing under State law that is indicated in the NRCHSCC's compilation? If:

- ( X ) YES, answer 6.2.2 and proceed to 6.3.  
( ) NO, answer 6.2.2 and 6.2.3.

6.2.2 Have group home licensing requirements that relate to staff-child ratios, group size, or staff training been modified since the approval of the last State Plan?  
(§98.41(a)(2) & (3))

- ( X ) NO  
( ) YES, and the changes are as follows:

6.2.3 For group home care that is NOT licensed, and therefore not reflected in NRCHSCC's compilation, the following health and safety requirements apply to child care services provided under the CCDF for:

- The prevention and control of infectious disease (including age-appropriate immunizations)
- Building and physical premises safety
- Health and safety training

**Section 6.3 - Health and Safety Requirements for Family Providers** (658E(c)(2)(F), §§98.41, 98.16(j))

6.3.1 Are all family child care providers paid with CCDF funds subject to licensing under State law that is indicated in the NRCHSCC's compilation? If:

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- ( ) YES, answer 6.3.2 and proceed to 6.4.  
(X) NO, answer 6.3.2 and 6.3.3.

6.3.2 Have family child care provider requirements that relate to staff-child ratios, group size, or staff training been modified since the approval of the last State Plan?  
(§98.41(a)(2) & (3))

- ( ) NO  
(X) YES, and the changes are as follows:

*The State of Utah used to count a family providers' children as part of the group size and ration if the children were under the age of 5. Effective in the Spring of 1999, the age was changed to four years old.*

6.3.3 For family care that is NOT licensed, and therefore not reflected in NRCHSCC's compilation, the following health and safety requirements apply to child care services provided under the CCDF for:

- The prevention and control of infectious disease (including age-appropriate immunizations)

*All licensed child care centers in Utah are subject to licensing and regulatory requirements available through NRCHSCC as outlined above. Utah maintains a database of providers who are NOT licensed (exempt by Utah law). These providers self certify that they meet minimum health and safety standards, which include prevention and control of infectious disease. Records of age-appropriate child immunizations must be kept on file with the caregiver.*

*Utah defines licensed exempt providers who are registered on the license exempt database as: "non-relative private home providers caring for four or fewer children; relatives; care provided as part of an educational institution regulated by the boards of education of Utah; parochial schools or a parochial child care institution where an education curriculum is offered".*

- Building and physical premises safety

*License exempt providers must maintain a working telephone with emergency numbers posted near the telephone. Hazardous material must be stored in an area inaccessible to children. Providers must meet all local and state fire and safety requirements as defined by law. An approved fire extinguisher and smoke detectors on each floor occupied by children are required.*

*Licensed exempt providers who are participating in the Adult and Child Federal Food Program are subject to local Health and Fire Department inspections.*

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- Health and safety training

*Licensed exempt providers may receive notification of training opportunities via their local child care resource and referral agency upon request. Available training includes CPR, First Aid, basic nutrition, and cleanliness.*

**Section 6.4 - Health and Safety Requirements for In-Home Providers** (658E(c)(2)(F), §§98.41, 98.16(j))

- 6.4.1 Are all in-home child care providers paid with CCDF funds subject to licensing under the State law reflected in the NRCHSCC's compilation referenced above? If:  
( ) YES, answer 6.4.2 and proceed to 6.5.  
(X) NO, answer 6.4.2 and 6.4.3.

- 6.4.2 Have in-home health and safety requirements that relate to staff-child ratios, group size, or training been modified since the approval of the last State Plan?  
(§98.41(a)(2) & (3))

(X) NO  
( ) YES, and the changes are as follows:

- 6.4.3 For in-home care that is NOT licensed, and therefore not reflected in NRCHSCC's compilation, the following health and safety requirements apply to child care services provided under the CCDF for:

- The prevention and control of infectious disease (including age-appropriate immunizations)

*All licensed child care centers in Utah are subject to licensing and regulatory requirements available through NRCHSCC as outlined above. Utah maintains a database of providers who are NOT licensed (exempt by Utah law). These providers self-certify that they meet minimum health and safety standards, which include prevention and control of infectious disease. Records of age-appropriate child immunizations must be kept on file with the caregiver.*

*Utah defines licensed exempt providers who are registered on the license exempt database as: "non-relative private home providers caring for four or fewer children; relatives; care provided as part of an educational institution regulated by the boards of education of Utah; parochial schools or a parochial child care institution where an education curriculum is offered".*

- Building and physical premises safety

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*License exempt providers must maintain a working telephone with emergency numbers posted near the telephone. Hazardous material must be stored in an area inaccessible to children. Providers must meet all local and state fire and safety requirements as defined by law. An approved fire extinguisher and smoke detectors on each floor occupied by children are required.*

*Licensed exempt providers who are participating in the Adult and Child Federal Food Program are subject to local Health and Fire Department inspections.*

- Health and safety training

*Licensed exempt providers may receive notification of training opportunities via their local child care resource and referral agency upon request. Available training includes CPR, First Aid, basic nutrition, and cleanliness.*

### **Section 6.5 - Exemptions to Health and Safety Requirements**

At Lead Agency option, the following relatives: grandparents, great grandparents, aunts, uncles, or siblings (who live in a separate residence from the child in care) may be exempted from health and safety requirements (658P(4)(B), §98.41(a)(1)(ii)(A)). Indicate the Lead Agency's policy regarding these relative providers:

- ( X ) All relative providers are subject to the same requirements as described in sections 6.1 - 6.4 above, as appropriate; there are no exemptions for relatives or different requirements for them.
- ( ) All relative providers are exempt from all health and safety requirements.
- ( ) Some or all relative providers are subject to different health and safety requirements from those described in sections 6.1 - 6.4. The following describes those requirements and identifies the relatives they apply to:

### **Section 6.6 - Enforcement of Health and Safety Requirements**

Each Lead Agency is required to certify that procedures are in effect to ensure that child care providers of services for which assistance is provided comply with all applicable health and safety requirements. (658E(c)(2)(E), §§98.40(a)(2), 98.41(d)) The following is a description of how health and safety requirements are effectively enforced:

- Are child care providers subject to routine unannounced visits (i.e., not specifically for the purpose of complaint investigation or issuance/renewal of a license)?
  - ( ) No
  - (X) Yes, and the following indicates the providers subject to routine

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unannounced visits and the frequency of those visits.

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*All licensed providers receive at least 1 annual unannounced inspection. If deficiencies are found at the time of survey, unannounced follow-up surveys are done until compliance is documented. Complaint investigations are unannounced.*

*Abuse allegations of relative care exempt providers would be investigated by Child Protective Services. Relative care providers who participate in the Child Care Food Program may receive unannounced visits from food program sponsors.*

- Are child care providers subject to background checks?
  - ☐ No
  - ☒ Yes, and the following types of providers are subject to background checks (indicate when such checks are conducted):

*All adults employed by licensed child care centers or residing in a home that is regulated by the child care licensing Bureau must pass a background check. The check includes criminal background screening for Utah, screening for child abuse on the Utah register, and if the individual has not lived in Utah for the past five years, a FBI clearance is obtained.*

- Does the State require that child care providers report serious injuries that occur while a child is in care? (A doctor, nurse, dentist, or other medical professional defines serious injuries as injuries requiring medical treatment.)
  - ☐ No
  - ☒ Yes, and the following describes the State's reporting requirements and how such injuries are tracked (if applicable).

*All child care programs are required to report serious injuries to the Bureau of Licensing within 24 hours and submit a written report within 5 days*

- Other methods used to ensure that health and safety requirements are effectively enforced:

*The Department of Health Child Care Licensing Bureau maintains an Advisory Committee. The committee provides information and support to the Bureau regarding licensing issues, provider communication and training.*

### **Section 6.7 – Exemptions from Immunization Requirements**

The State assures that children receiving services under the CCDF are age-appropriately immunized, and that the health and safety provisions regarding immunizations incorporate (by reference or otherwise) the latest recommendations for childhood immunizations of the State public health agency. (§98.41(a)(1))

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The State exempts the following children from immunization (check all that apply):

- ☐ Children who are cared for by relatives (defined as grandparents, great grandparents, siblings (if living in a separate residence), aunts and uncles).
- ☐ Children who receive care in their own homes.
- ☒ Children whose parents object to immunization on religious grounds.
- ☒ Children whose medical condition contraindicates immunization.

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## **PART 7 - HEALTH AND SAFETY REQUIREMENTS IN THE TERRITORIES**

### **Section 7.1 - Health and Safety Requirements for Center-Based Providers in the Territories** (658E(c)(2)(F), §98.41(a), §98.16(j))

For all center-based care, the following health and safety requirements apply to child care services provided under the CCDF for:

- The prevention and control of infectious disease (including age-appropriate immunizations)
- Building and physical premises safety
- Health and safety training

### **Section 7.2 - Health and Safety Requirements for Group Home Providers in the Territories** (658E(c)(2)(F), §98.41(a), §98.16(j))

For all group home care, the following health and safety requirements apply to child care services provided under the CCDF for:

- The prevention and control of infectious disease (including age-appropriate immunizations)
- Building and physical premises safety
- Health and safety training

### **Section 7.3 - Health and Safety Requirements for Family Providers in the Territories** (658E(c)(2)(F), §98.41(a), §98.16(j))

For all family child care, the following health and safety requirements apply to child care services provided under the CCDF for:

- The prevention and control of infectious disease (including age-appropriate immunizations)
- Building and physical premises safety
- Health and safety training

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**Section 7.4 - Health and Safety Requirements for In-Home Providers in the Territories**  
(658E(c)(2)(F), §98.41(a), §98.16(j))

For all in-home care, the following health and safety requirements apply to child care services provided under the CCDF for:

- The prevention and control of infectious disease (including age-appropriate immunizations)
- Building and physical premises safety
- Health and safety training

**Section 7.5 - Exemptions to Territorial Health and Safety Requirements**

At Lead Agency option, the following relatives may be exempted from health and safety requirements: grandparents, great grandparents, aunts, uncles, or siblings (who live in a separate residence from the child in care). (658P(4)(B), §98.41(a)(1)(ii)(A)). Indicate the Lead Agency's policy regarding these relative providers:

- ( ) All relative providers are subject to the same requirements as described in sections 7.1 - 7.4 above, as appropriate; there are no exemptions for relatives or different requirements for them.
- ( ) All relative providers are exempt from all health and safety requirements.
- ( ) Some or all relative providers are subject to different health and safety requirements from those described in sections 7.1 - 7.4 and the following describes those different requirements and the relatives they apply to:

**Section 7.6 - Enforcement of Health and Safety Requirements**

Each Lead Agency is required to certify that procedures are in effect to ensure that child care providers of services for which assistance is provided comply with all applicable health and safety requirements. (658E(c)(2)(E), §§98.40(a)(2), 98.41(d)) The following is a description of how Territorial health and safety requirements are effectively enforced:

- Are child care providers subject to routine unannounced visits (i.e., not specifically for the purpose of complaint investigation or issuance/renewal of a license)?
  - ( ) No
  - ( ) Yes, and the following indicates the providers subject to routine unannounced visits and the frequency of those visits.

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- Are child care providers subject to background checks?
  - ☐ No
  - ☐ Yes, and the following types of providers are subject to background checks (indicate when such checks are conducted):
  
- Does the Territory require that child care providers report serious injuries that occur while a child is in care? ( A doctor, nurse, dentist, or other medical professional defines serious injuries as injuries requiring medical treatment.)
  - ☐ No
  - ☐ Yes, and the following describe the Territory's reporting requirements and how such injuries are tracked (if applicable).
  
- Other methods used to ensure that health and safety requirements are effectively enforced:

**Section 7.7 – Exemptions from Immunization Requirements**

The Territory assures that children receiving services under the CCDF are age-appropriately immunized, and that the health and safety provisions regarding immunizations incorporate (by reference or otherwise) the latest recommendations for childhood immunizations of the Territorial public health agency. (§98.41(a)(1))

The Territory exempts the following children from immunization (check all that apply):

- \_\_\_\_\_ Children who are cared for by relatives (defined as grandparents, great grandparents, siblings (if living in a separate residence), aunts and uncles).
- \_\_\_\_\_ Children who receive care in their own homes.
- \_\_\_\_\_ Children whose parents object to immunization on religious grounds.
- \_\_\_\_\_ Children whose medical condition contraindicates immunization.

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**APPENDIX 1 -- PROGRAM ASSURANCES AND CERTIFICATIONS**

The Lead Agency, named in Part 1 of this Plan, assures that:

- (1) upon approval, it will have in effect a program that complies with the provisions of the Plan printed herein, and is administered in accordance with the Child Care and Development Block Grant Act of 1990 as amended, Section 418 of the Social Security Act, and all other applicable Federal laws and regulations. (658D(b), 658E(a))
- (2) the parent(s) of each eligible child within the State who receives or is offered child care services for which financial assistance is provided is given the option either to enroll such child with a child care provider that has a grant or contract for the provision of the service; or to receive a child care certificate. (658E(c)(2)(A)(i))
- (3) in cases in which the parent(s) elects to enroll the child with a provider that has a grant or contract with the Lead Agency, the child will be enrolled with the eligible provider selected by the parent to the maximum extent practicable. (658E(c)(2)(A)(ii))
- (4) the child care certificate offered to parents shall be of a value commensurate with the subsidy value of child care services provided under a grant or contract. (658E(c)(2)(A)(iii))
- (5) with respect to State and local regulatory requirements, health and safety requirements, payment rates, and registration requirements, State or local rules, procedures or other requirements promulgated for the purpose of the Child Care and Development Fund will not significantly restrict parental choice among categories of care or types of providers. (658E(c)(2)(A), §98.15(p), §98.30(g), §98.40(b)(2), §98.41(b), §98.43(c), §98.45(d))
- (6) that children receiving services under the CCDF are age-appropriately immunized, and that the health and safety provisions regarding immunizations incorporate (by reference or otherwise) the latest recommendation for childhood immunizations of the State public health agency. (§98.41(a)(1))
- (7) that CCDF Discretionary funds are used to supplement, not supplant, State general revenue funds for child care assistance for low-income families. (P.L. 106-554)

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The Lead Agency also certifies that:

- (1) it has procedures in place to ensure that providers of child care services for which assistance is provided under the Child Care and Development Fund afford parents unlimited access to their children and to the providers caring for their children during the normal hours of operations and whenever such children are in the care of such providers. (658E(c)(2)(B))
- (2) it maintains a record of substantiated parental complaints and makes information regarding such complaints available to the public on request. (658E(c)(2)(C))
- (3) it will collect and disseminate to parents of eligible children and the general public, consumer education information that will promote informed child care choices. (658E(c)(2)(D))
- (4) it has in effect licensing requirements applicable to child care services provided in the State. (658E(c)(2)(E))
- (5) there are in effect within the State (or other area served by the Lead Agency), under State or local law, requirements designed to protect the health and safety of children; these requirements are applicable to child care providers that provide services for which assistance is made available under the Child Care and Development Fund. (658E(c)(2)(E))
- (6) procedures are in effect to ensure that child care providers of services for which assistance is provided under the Child Care and Development Fund comply with all applicable State or local health and safety requirements. (658E(c)(2)(G))
- (7) payment rates under the Child Care and Development Fund for the provision of child care services are sufficient to ensure equal access for eligible children to comparable child care services in the State or sub-State area that are provided to children whose parents are not eligible to receive assistance under this program or under any other Federal or State child care assistance programs. (658E(c)(4)(A))

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#### **APPENDIX 2 - ELIGIBILITY AND PRIORITY TERMINOLOGY:**

For purposes of determining eligibility and priority for CCDF-funded child care services, lead agencies must define the following *italicized* terms. (658P, 658E(c)(3)(B))

(1) *job training and educational program* -

Utah supports students in adult, basic education, any vocational, skills, or job readiness training or courses that increase employability when the student is employed **an average of** 15 hours or more a week. For FEP participants, training/education activities are defined by the employment plan goals.

(2) *attending* (a job training or educational program; include ~~minimum~~ **average** hours if applicable) -

Utah's child care program supports job training and education for single parents who work **an average of** 15 hours or more a week. Utah also supports job training and education for two parent families when one parent is employed **an average of** 15 hours or more per week while the other parent works **an average of 30~~35~~** hours or more per week and the other parent is not able to care for the children. Child care is approved to cover not more than 24 months to meet the training/education goal. For FEP parents, training/education participation is defined by employment plan goals.

(3) *in loco parentis* -

1. Specified relatives may be eligible for child care subsidies when the child lives with the specified relative and the parent is not in the same home. Specified relative is defined as:

Grandparents

Brother or sister, including step, half, and adopted

Aunt or uncle

First cousin, nephew or niece

People of prior generations as designated by the prefix grand, great or great-great

2. An unrelated adult who has legal custody of the child is the same as a parent.

(4) *physical or mental incapacity* (if the Lead Agency provides such services to children age 13 and older) -

Children who are physically or mentally incapable of self-care as determined by a medical doctor, doctor of osteopathy or licensed or certified psychologist.

(5) *protective services* -

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Services necessary to prevent child abuse or neglect as determined by Department of Human Services, Division of Child and Family Services.

(6) *residing with -*

Children must live in the same household as the parent during the time period child care services are requested.

(7) *special needs child -*

Special needs children are homeless children and children with identifiable mental and/or physical disabilities requiring special child care services as determined and categorized by the following four agencies: The Department of Human Services, Division of Services for People with Disabilities, The Division of Mental Health, The Department of Health, Early Intervention Baby Watch, and The Department of Education, Special Needs Program.

(8) *very low income -*

Families that are TANF eligible and all other income eligible children are considered very low income.

(9) *working (include average hours if applicable) -*

Participating in full or part-time employment and making a wage equal to the federal minimum wage or prevailing local wage, whichever is less. There is an average of 15 hour per week work requirement for employment supported child care assistance. Americorps Vista volunteers meet our definition of employment and the income is exempt.

(10) Additional terminology related to conditions of eligibility or priority established by the Lead Agency:

NA

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